

- Obtain unique document identification number, DCF number, and/or revision indicator from RMRS Document Control.
- Complete RMRS Document Control Distribution List Form (Appendix 7) for each controlled document, change, or revision, as necessary.
- Ensure documents meet records acceptance criteria stated in 1-V41-RM-001, Records Management Guidance for Records Sources.
- Determine need for a classification review. (See Kaiser-Hill Directive CAHW-001-96, Release of Information and Documents, which can be found in the RMRS Model Office.)
- Ensure appropriate safety reviews are performed for technical procedures.
- Provide master document, Document History File (DHF), and electronic copy of document to RMRS DC for processing and maintenance.
- Ensure that documents under their cognizance are changed, revised, superseded, or cancelled when needed.
- Evaluate new controlled documents, changes, or revisions, as stated on the monthly Document Control Announcement, to determine impacts to operations and identify any necessary training.
- Ensure identified personnel are aware of and understand the requirements of this procedure.
- Ensure controlled documents are reviewed periodically to ensure continued adequacy, accuracy, changes in requirements, and consideration of human factors.

4.2 RMRS Document Control (DC) (functional title)

- Assign, log, and track controlled document numbers, changes, revisions, and DCF numbers.
- Issue and maintain RMRS controlled documents.
- Remove superseded or cancelled documents from service.
- Input controlled document information and controlled distribution lists to the RFETS PADT database, when notified by Site Document Control of availability.
- Ensure the maintenance and protection of current document/revision and DHFs, and transmit to RMRS Records Center when document is revised, superseded, or cancelled. (Note: Documents related to the Waste Isolation Processing Plant [WIPP] Project shall be transmitted to the Waste Records Center.)
- Prepare document or binder covers, if appropriate.
- Provide monthly Document Control Announcement of controlled document activity to RMRS managers.
- Participate in periodic assessments by the Integrated Management Contractor (IMC) Records, Documents, and Administrative Services, including resolution to any corrective actions required.

4.3 Controlled Copyholders (functional title)

- Receive and acknowledge approved controlled documents and update documents when changes or revisions are issued.

4.4 RMRS Records Center (functional title)

- Index and maintain previous controlled document revisions and DHFs.
- Transmit records to Site Records Management for archival.



5.0 INSTRUCTIONS

5.1 Identify Controlled Documents

RMRS Managers identify RMRS documents within their respective organization that are to be controlled. (Refer to Controlled Document definition above, and RMRS Controlled Document Type List, Appendix 1.)

5.2 Prepare, Review, and Approve Controlled Documents

Responsible Manager

- (1) Determine the need for a document, change, or revision and prepare document in accordance with QA-05.01, Preparation and Control of RMRS Documents.
- (2) Initiate document using the RMRS Controlled Document Checklist, Appendix 2. (Becomes part of the DHF when completed.)
 - For changes to WIPP documents, the Responsible Manager shall identify the changes, the reason for the changes, and the justification for concluding that the revised contents continue to satisfy the requirements of the WIPP Quality Assurance Program. A section has been added to the checklist to accomplish this requirement.
- (3) Complete the Document Control Distribution List form (Appendix 7), or equivalent documentation, for each controlled document, including changes and revisions to existing documents, and verify or amend, as appropriate.
- (4) Obtain classification review, if appropriate.
- (5) Obtain safety screening/reviews in accordance with RMRS QA-05.01, Preparation and Control of RMRS Documents.
- (6) Responsible Manager and the RMRS DC staff establish an effective date for the document. (Effective dates must be established with sufficient time to allow for training and for RMRS DC to process the document. **The effective date may not precede the date the document is issued.**)

Note: Documents are issued in the order received by DC.

5.3 Control Process

Note: Logs maintained electronically have a process to ensure daily backup.

RMRS DC

- (1) Provide document identification numbers, revision numbers and DCF numbers from Document Control Log(s).
- (2) Verify document and DHF contents against Receipt Acceptance Criteria (Appendix 3).
- (3) Prepare document or binder covers, if appropriate.
- (4) Assign each copyholder a copy number.
- (5) Prepare Document Transmittal Acknowledgment Notice (DTAN), Appendix 4, and instructions.
- (6) Develop or update a Table of Contents, if appropriate.
- (7) Stamp document copies with a red ink CONTROLLED COPY stamp and write in copyholder number.
- (8) Distribute document with the DTAN and instructions to identified copyholder.
- (9) Update and maintain Document Control Log(s) and databases. The Log(s) and databases may be in electronic or hard copy form and will contain:
 - document number and title
 - originating organization and responsible manager
 - change date or revision number

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Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
Documents related to WIPP/LL/LLM : Controlled Document and Revisions; Document History File (DHF)	In-Process WIPP/LL/LLM Quality Assurance Record	Document Control maintains current document/revision and DHF in one-hour fire rated cabinets until revised.	Continue prescribed processing of document(s) Once revised, transmit previous revision and DHF to the Waste Records Center, per 1-PRO-077-WIPP-005, within six months.
Documents related to WIPP/LL/LLM : Controlled Document and Revisions; Document History File (DHF)	WIPP/LL/LLM Quality Assurance Record	While active, Document Control maintains current controlled document and DHF in one-hour fire rated cabinets.	Within 6 months after document is superseded or cancelled, Document Control transmits controlled document and DHF to the Waste Records Center, per 1-PRO-077-WIPP-005.
Documents <u>not</u> related to WIPP/LL/LLM : Controlled Document and Revisions; Document History File (DHF)	In-process Quality Assurance Record	Document Control maintains current document/revision and DHF in one-hour fire rated cabinets until revised.	Continue prescribed processing of document(s) Once revised, transmit previous revision and DHF to RMRS Records Center in accordance with RM-06.02, Records Identification, Generation and Transmittal.
Documents <u>not</u> related to WIPP/LL/LLM : Controlled Document and Revisions; Document History File (DHF)	Quality Assurance Record	Document Control maintains current controlled document and DHF in one-hour fire cabinets. Within 90 days after document is superseded or cancelled, Document Control transmits controlled document, revisions and DHF to RMRS Records Center, in accordance with RM-06.02, Records Identification, Generation and Transmittal.	Within one year of the date of cancellation, the RMRS Records Center retrieves all files related to the document and transmits the record package to Site Records Management in accordance with 1-V41-RM-001.

12/20/99

11/26/99

12/20/99

11/26/99

12/20/99

12/20/99

APPENDIX 2

RMRS CONTROLLED DOCUMENT CHECKLIST

This checklist is intended to expedite the process for controlling internal RMRS documents. For documents containing Site-level requirements, or used by organizations other than RMRS or its subcontractors, users refer to the RFETS Site Documents Requirements Manual (SDRM) for instructions.

Responsible Manager _____		Signature (Use Blue Ink Only) _____	Date _____
	Print _____		
Organization/Program _____			
Writer/Originator _____		Signature (Use Blue Ink Only) _____	Date _____
	Print _____		
Phone _____	Pager _____	Building _____	
Quality Assurance Reviewer _____		Signature (Use Blue Ink Only) _____	Date _____
	Print _____		

Document Type (✓ one) ☐ Policy ☐ Management Directive ☐ Manual ☐ Procedure ☐ Instruction
☐ Technical Standard ☐ Other (if other, specify type) _____

Note: The document title shall include the building number/name, if the document is specific to a building. Include the program, if the document applies to a specific program.

☐ New Document (Revision 0)

Document Number (Obtain from Document Control, X5430)

Title _____

☐ Total Revision * Existing Document Number _____

Title _____

☐ Obtain electronic copy from Document Control, X5430

☐ New Revision No. _____
(Obtain from Document Control, X5430)

Periodic Review (Check One)
(For new or revised procedures)

☐ 1 yr. - Emergency Preparedness Procedure

☐ 3 yrs. - Potentially affects system Category
1, 2, or 3 function

☐ 4 yrs. - All other documents

☐ Inactive procedure is reactivated

☐ **Page Change*** Existing Document Number _____

Title _____

☐ Obtain electronic copy from Document Control, X5430

☐ Change bar and effective date noted in margin

☐ Classification Review Obtained

☐ Classification Review not applicable

Pages Affected:

*The following information is required for revisions and/or changes to WIPP documents.

☐ Identify the revisions or changes and reason for the changes:

[illegible]

☐ Justification for concluding that the revised contents continue to satisfy the requirements of the Quality Assurance program:

7. REFERENCES

- 7.1 DOE Order 414.1, Quality Assurance
- 7.2 10 CFR 830.120, Quality Assurance Requirements
- 7.3 RMRS-QAPD-001, RMRS Quality Assurance Program Description
- 7.4 1-MAN-001-SDRM, RFETS Site Documents Requirements Manual
- 7.5 RMRS QA-05.01, Preparation and Control of RMRS Documents
- 7.6 1-V41-RM-001, Records Management Guidance for Records Sources
- 7.7 MAN-063-DC, RFETS Document Control Program Manual
- 7.8 Kaiser-Hill Directive CAHW-001-96, Release of Information and Documents

11/26/99